



<b>Health Care Agency</b> <b>Behavioral Health Services</b> <b>Policies and Procedures</b>	Section Name:	Information Management
	Sub-section:	Clinical Records Documentation
	Section Number:	05.01.07
	Policy Status:	<input type="checkbox"/> New <input checked="" type="checkbox"/> Revised

	SIGNATURE	DATE APPROVED
Chief of Operations Behavioral Health Services	_____	_____

**SUBJECT:** Missing/Lost Charts

**PURPOSE:**

The purpose is to establish a uniform procedure for handling missing/lost clinical charts.

**POLICY:**

Behavioral Health Services (BHS) staff shall make all diligent efforts to locate any missing/lost clinical record and, when necessary, document and reconstruct a replacement clinical chart.

**SCOPE:**

This policy applies to all Divisions of Behavioral Health Services.

**REFERENCES:**

Fraud and Abuse, BHS P&P #07.01.01

Transport of Clinical Records BHS P&P #05.01.08

**PROCEDURE:**

- I. The medical record will be maintained under record keeping guidelines established by the Program.
- II. The record shall not be removed from the treating facility except under pre-approved program-specific guidelines.
- III. If a chart cannot be located:
  - A. The clinic staff shall notify the clinic's Service Chief.
- IV. Service Chief is aware a chart cannot be located:

- A. Once the Service Chief is aware that the chart is no longer held by HCA/BHS, such as in the case of a clinical chart that is stolen or vandalized, the Service Chief shall immediately:
  - 1. Notify the Program Manager.
  - 2. Notify the Office of Compliance.
  - 3. Notify the Custodian of Records.
  - 4. File a police report.
  - 5. Complete a Special Incident Report.
  
- V. The Service Chief shall consult with the Program Manager to determine if there is a need for any HR disciplinary actions to be taken as a result of the clinical chart being missing, and if so, follow up with those actions.
  
- VI. Misplaced Clinical Chart:
  - A. If the Service Chief believes that the chart has only been misplaced but is still in the custody of the clinic/site, and if the chart is not located as part of routine processes within 7 days, the Service Chief shall:
    - 1. Conduct a thorough search using logs, indices, files or computer data to help locate the clinical chart.
    - 2. Notify all Program staff at the location regarding the lost chart and seek their assistance in attempting to locate the record.
    - 3. If the chart is not located within an additional 7 days, the Service Chief shall report the clinical record is lost by notifying the:
      - a) Program Manager.
      - b) Custodian of Records.
      - c) Authority and Quality Improvement Services (AQIS) Division Manager.
  
  - B. The AQIS Division Manager and Service Chief shall determine, based on the particular circumstances around the loss of the clinical chart, whether or not the HIPAA Coordinator should be contacted for possible notification to the consumer that his/her chart is missing.
  
  - C. The Program Manager and Service Chief should also determine if there is a need for any HR disciplinary actions to be taken as a result of the chart being missing, and if so, follow up with those actions.

VII. Create a replacement clinical chart:

A. The Service Chief or their designee shall:

1. Re-do all forms required for treatment and billing, to include items such as:
  - a) consent forms
  - b) treatment plans
  - c) informing materials
  - d) financial forms
2. Complete re-assessment shall be performed and documented.
3. Recreate recent progress notes provided that the plan coordinator can reasonably recall the information accurately.
4. Not claim/bill for any time spent recreating the clinical chart.
5. Make a notation on the record jacket and an opening administrative progress note for the reconstructed chart as to the "Lost" status and the date the record was reconstructed.
6. Facilitate continuity of care.
7. Oversee the writing of a summary of treatment/condition to date. The summary shall include information from whatever sources the Service Chief deems relevant including information from the psychiatrist and the care coordinator or therapist.

VIII. Clinical Chart is subsequently found:

- A. The Service Chief shall combine the reconstructed record into the original clinical record.
- B. The Service Chief shall make an administrative progress note reflecting this action.